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### UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No. / Q01-1000-US1

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#### TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application Washington, D.C. 20231

| Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for |          |      |            |                  |        |                           |                 |                                  |  |  |
|--|----------|------|------------|------------------|--------|---------------------------|-----------------|----------------------------------|--|--|
| invention entitled: A DUAL STAGE, HEAD STACK ASSEMBLY FOR A DISK DRIVE   |          |      |            |                  |        |                           |                 |                                  |  |  |
| and invented by: STEPHEN P. WILLIAMS, ALBERT HARTMAN, AND TOM TACKLIND   |          |      |            |                  |        |                           |                 |                                  |  |  |
| If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:                           |          |      |            |                  |        |                           |                 |                                  |  |  |
| ☐ Co   |          |      |            | Divisional       |        |                           |                 | of prior application No.:        |  |  |
| Which is   | a:       |      |            |                  |        |                           |                 | -                                |  |  |
| ☐ Co   | ntin     | uati | on 🗆       | Divisional       |        | Continuation-             | in-part (CIP)   | of prior application No.:        |  |  |
| Which is   | a:       |      |            |                  |        |                           |                 |                                  |  |  |
| │ □ Co   | ntin     | uati | on 🗆       | Divisional       |        | Continuation-             | in-part (CIP)   | of prior application No.:        |  |  |
| Enclose  | .l       |      |            |                  |        |                           |                 |                                  |  |  |
| Enclose  | a ar     | e:   |            |                  |        | Application               | n Elements      |                                  |  |  |
|  |          |      |            |                  |        |                           |                 |                                  |  |  |
| 1. 2   | <u> </u> | -um  | g ree as   | calculated and   | ı trar | nsmitted as desc          | ribed below     |                                  |  |  |
| 2. 🛭   | ☑ (      | Spec | cification | having           |        | 16                        | _ pages and ir  | ncluding the following:          |  |  |
|  | a. [     | X    | Descript   | ive Title of the | e Inve | ention                    |                 |                                  |  |  |
|  | b. [     |      |            |                  |        | ted Applications          | (if applicable) |                                  |  |  |
|  |          |      |            |                  |        |                           | ,               | velopment <i>(if applicable)</i> |  |  |
|  | d. [     |      |            |                  |        | ppendix <i>(if applic</i> |                 | veюртет ( <i>II арріісаріе)</i>  |  |  |
|  | е. [     |      |            |                  |        |                           | aule)           |                                  |  |  |
|  |          |      | _          | und of the Inv   |        |                           |                 |                                  |  |  |
|  | f. [     |      |            | mmary of the     |        |                           |                 |                                  |  |  |
| !  | g. [     | X    | Brief De   | scription of the | e Dra  | awings <i>(if drawin</i>  | gs filed)       |                                  |  |  |
|  | h. [     | X    | Detailed   | Description      |        |                           |                 |                                  |  |  |
|  | i. [     | X    | Claim(s)   | as Classified    | Belo   | ow                        |                 |                                  |  |  |
| 1  | j. [     | X    | Abstract   | of the Disclos   | sure   |                           |                 |                                  |  |  |
|  |          |      |            |                  |        |                           |                 |                                  |  |  |

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|     | Application Elements (Continued) |  |  |  |  |  |  |  |  |
|-----|----------------------------------|--|--|--|--|--|--|--|--|
| 3.  | $\boxtimes$                      | Drawing(s) (when necessary as prescribed by 35 USC 113)  |  |  |  |  |  |  |  |
|     | a.                               | ☐ Formal Number of Sheets  |  |  |  |  |  |  |  |
|     | b.                               | ☐ Informal Number of Sheets 4 (FOUR)   |  |  |  |  |  |  |  |
| 4.  |                                  | Oath or Declaration  |  |  |  |  |  |  |  |
|     | a.                               | ☐ Newly executed (original or copy) ☐ Unexecuted   |  |  |  |  |  |  |  |
|     | b.                               | Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)  |  |  |  |  |  |  |  |
|     | C.                               | ☐ With Power of Attorney ☐ Without Power of Attorney   |  |  |  |  |  |  |  |
|     | d.                               | DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. 1.63(d)(2) and 1.33(b).   |  |  |  |  |  |  |  |
| 5.  |                                  | Incorporation By Reference (usable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein. |  |  |  |  |  |  |  |
| 6.  |                                  | Computer Program in Microfiche (Appendix)  |  |  |  |  |  |  |  |
| 7.  |                                  | Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)   |  |  |  |  |  |  |  |
|     | a.                               | ☐ Paper Copy   |  |  |  |  |  |  |  |
|     | b.                               | ☐ Computer Readable Copy (identical to computer copy)  |  |  |  |  |  |  |  |
|     | C.                               | □ Statement Verifying Identical Paper and Computer Readable Copy   |  |  |  |  |  |  |  |
|     | Accompanying Application Parts   |  |  |  |  |  |  |  |  |
| 8.  |                                  | Assignment Papers (cover sheet & document(s))  |  |  |  |  |  |  |  |
| 9.  |                                  | 37 CFR 3.73(B) Statement (when there is an assignee)   |  |  |  |  |  |  |  |
| 10. |                                  | English Translation Document (if applicable)   |  |  |  |  |  |  |  |
| 11. |                                  | Information Disclosure Statement/PTO-1449   Copies of IDS Citations  |  |  |  |  |  |  |  |
| 12. |                                  | Preliminary Amendment  |  |  |  |  |  |  |  |
| 13. | ×                                | Acknowledgment postcard  |  |  |  |  |  |  |  |
| 14. | $\boxtimes$                      | Certificate of Mailing   |  |  |  |  |  |  |  |
|     |                                  | ☐ First Class ☒ Express Mail (Specify Label No.): EL111015644US  |  |  |  |  |  |  |  |
|     |                                  | EDITIOISO4405  |  |  |  |  |  |  |  |

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|     | Accompanying Application Parts (Continued)   |
|-----|--|
| 15. | Certified Copy of Priority Document(s) (if foreign priority is claimed)  |
| 16. | Additional Enclosures (please identify below):   |
|     |  |
|     |  |
|     | Dogwood That Application Not De Bullish at Day (T. 05 to 0. 400 (1))   |
|     | Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)  |
| 17. | Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.  |
|     | Warning  |
|     | An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional. |
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#### Fee Calculation and Transmittal

#### **CLAIMS AS FILED** For #Filed #Allowed #Extra Rate Fee **Total Claims** 21 - 20 = 1 \$18.00 \$18.00 х Indep. Claims 4 - 3 = 1 \$80.00 \$80.00 Multiple Dependent Claims (check if applicable) \$0.00 **BASIC FEE** \$710.00 OTHER FEE (specify purpose) \$0.00 **TOTAL FILING FEE** \$808.00 ☐ A check in the amount of to cover the filing fee is enclosed. ☑ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0283 as described below. A duplicate copy of this sheet is enclosed. ☑ Charge the amount of \$808.00 as filing fee. Credit any overpayment. ☑ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17. ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b). DAVID B. HARRISON, REG. NO. 27,445 Dated: JANUARY 23, 2001

CC:

QUANTUM CORPORATION 500 MCCARTHY BOULEVARD

MILPITAS, CA 95035